



PERFORMANCE PAY PROGRAM

IN ACCORD
WITH THE
COLORADO
PERFORMANCE
PAY
SYSTEM
INITIATIVE

(Revised March 20, 2002)

Mesa State College **PERFORMANCE PAY PROGRAM**

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I. OVERVIEW

Introduction

Mesa State Performance Pay Program (MSPPP) is the response of Mesa State College to the Colorado Performance Pay System initiative designed to measure job performance and determine appropriate awards for state employees. The MSPPP is a model that is deliberately designed to address both the paradigm of the Colorado Performance Pay System and the structure, culture and philosophy of the Mesa State College organization.

The Colorado Performance Pay System is addressed in its entirety in the MSPPP. Progressive performance management, collaborative performance evaluation and performance based pay are all incorporated into the program.

Mesa State College Mission Statement

Mesa State College is committed to serving the higher education needs of the citizens of Colorado. The College seeks to attract and retain high quality undergraduate and graduate students from Colorado and the Mountain West, while regarding Colorado's Western Slope as its primary service area. The service area includes the Grand Valley east to the continental divide, north to Wyoming, and south to Red Mountain.

The threefold mission of Mesa State College is in accord with the statement of the Colorado legislation, located at C.R.S. 23-53-101, which created the institution:

There is hereby established a College at Grand Junction, to be known as Mesa State College, which shall be a general baccalaureate and specialized graduate institution with moderately selective admissions. Mesa State College shall offer liberal arts and sciences programs and a limited number of professional, technical and graduate programs. Mesa State College shall receive resident credit for two-year course offerings in its commission-approved service area.

The Mesa State College community aspires to provide an environment that promotes a wellness lifestyle free of addictive behaviors. It shall be a goal of Mesa State College to maintain a healthy campus atmosphere conducive to learning and personal safety.

Guiding Principles

The principles by which the performance management process will be guided were developed from a group of institutional cultural characteristics and global components as identified by the Task Force for the Mesa State College Performance Pay Program.

1. Orientation and Training

The Mesa State College Performance Pay Program requires initial orientation and ongoing training in all phases of performance management planning for all employees, with continuing emphasis on new employees and current employees who are making lateral moves or are being promoted.

2. Performance Planning

Development of individual performance plans will be a major component of performance planning. The development of the individual performance plans will involve a planning session between the supervisor and the employee. The planning session will take place at the beginning of each performance cycle. Plans will include goal setting, continuing or periodic reviews, and an evaluation and appraisal component that is connected to levels of performance.

3. Professional Development

Professional development components may be included in all performance plans. Special consideration should be given to the personal development of leadership skills.

4. Communication

The process of coaching, mentoring and providing feedback is designed to enhance and promote effective internal and external communication.

5. Customer Service

Customer service philosophy and strategies should be incorporated into all phases of the performance management Program, emphasizing a sense of community and team building.

6. Motivation

Supervisors should be trained to lead by positive example, motivate by example and, where appropriate, to teach team building skills to the employees they supervise.

Performance Management Values

1. Performance management is a business tool that helps organizations, as well as individuals, achieve their visions, goals and strategic objectives in the work environment.

2. A successfully implemented performance management system is the foundation for other programs, policies, procedures and initiatives.
3. Performance management is an ongoing process, not a one-time event. Such a system is critical for organizational and individual success.
4. Each employee shares responsibility and is accountable for making such a system successful.
5. Managers, supervisors and employees must evaluate and clearly define objectives and the means of meeting those objectives.
6. Training is a key component to a successful performance management system.
7. A successful performance management system encourages open, ongoing communication to build trust and develop a work environment that focuses on continuous improvement and increased productivity.
8. MSPPP is designed for the state classified system employees, but the performance management aspects of MSPPP are sufficiently flexible to include administrative personnel of the College.

II. PERFORMANCE MANAGEMENT IMPLEMENTATION PLAN

II.A. ORIENTATION AND TRAINING

Training will be provided for all new employees, all supervisors and staff, and those who make lateral moves or are promoted. Training will include an orientation component for all new employees. The following are broad categories of orientation and training:

1. Orientation

(a) Institutional

A general orientation will be conducted by the Human Resources Department for all new state classified employees and those administrative employees who supervise state classified staff. Orientation will include the institutional mission, vision and strategic plan, as well as an explanatory overview of the performance management plan.

(b) Departmental

Employees will receive instruction, at the departmental level, on how the department mission/goals support the institutional mission/goals.

2. Customer Service Training

(a) Institutional

Employees are encouraged to participate in current, general institutional customer service training seminars (e.g., *Connections* program).

(a) Departmental

Departments should instruct employees in departmental customer service requirements, and should reinforce institutional training seminar instruction.

3. Departmental Training

(a) The department will provide training appropriate to each specific position.

(b) Whenever possible, employees who formerly held a specific position may assist in training the employee new to that position.

4. Performance Management Training

Performance Management training is mandatory for all supervisors, and all employees should be encouraged to attend ongoing training sessions.

Human Resources will provide ongoing training in the following areas:

(a) Formulating measurable behavior indicators

(b) Creating a work journal

(c) Self-evaluation and review

(d) Weighting of performance measures

(e) Understanding and explaining the conversion from existing to new performance management processes.

- (f) Designing specific and measurable individualized goals
- (g) The procedures related to an overall rating of *Unsatisfactory Performance*
- (h) Appropriate use of performance management forms
- (i) Identification of effective non-cash awards

II.B. PERFORMANCE MANAGEMENT

Performance Management provides a framework for employees to participate in establishing their own performance goals and objectives, and to be full participants in reviewing their individual progress toward those goals. It provides the supervisor with an opportunity to include the employee in the planning process, as well as setting the parameters for review of progress, annual appraisals and appropriate performance awards. Performance management is continuous and dynamic. It includes performance planning, feedback and coaching, interim evaluations, annual performance evaluations and appraisal. The annual evaluation due date for all classified employees at Mesa State College shall be April 30 of each fiscal year.

1. Performance Planning

Each individual employee's performance plan outlines the tasks, responsibilities, goals and measurements for a particular job. Statewide uniform core competencies will be incorporated into every employee's performance plan and will be considered during every employee's annual evaluation. Critical job duties are specified in the employee's PDQ. Planning shall occur within the following schedule and procedures:

- (a) Within 30 days of initial hire or 30 days of the annual evaluation due date, the employee's supervisor, with input from the individual employee, shall develop a performance plan for that employee. The performance plan should include "SMART" goals and expectations, i.e. goals should be specific, measurable, attainable within a set time frame, results-oriented and trackable over time.
- (b) If the employee's supervisor does not develop a performance plan for the employee, the next higher level supervisor shall develop a performance plan for that employee. If the next level supervisor fails to plan in a timely manner, the third level supervisor is responsible for completing the plan. Responsibility for plan completion continues on up the chain of command until the plan is completed as required by law.

- (c) All supervisors will have a factor in their own performance plan that evaluates the effectiveness of performance management of their employees.

2. Coaching, Feedback and Progress Review

- (a) The employee is encouraged to maintain an important events journal that documents significant work achievements and other important incidents.
- (b) The supervisor should provide the employee with regular coaching and ongoing feedback. This allows the employee an opportunity to receive clarification of expectations and additional training/coaching as needed.

Interim and/or ongoing progress reviews shall be provided to the employee by the supervisor no less than once during any rating period. These progress reviews shall include a review of the goals and objectives set forth in the employee's Performance Plan, and modification of the Performance Plan as needed and appropriate.

3. Performance Evaluation/Appraisal

- (a) Employees shall receive a written Performance Evaluation at least annually. The employee's evaluation shall be based on the employee's past year's performance plan.
- (b) Performance will be rated based on four levels, with Level 1 indicating unsatisfactory performance.
- (c) Quotas or forced distribution processes for determining the number of ratings in any of the four performance levels will not be established.
- (d) Where feasible, multi-source assessment processes will be considered for evaluating employees.
- (e) At least five (5) days prior to the annual Performance Evaluation the supervisor shall provide the employee with an *Employee Self Review Worksheet*. The employee is encouraged to complete the worksheet, which is designed to help the employee and the supervisor prepare for the performance evaluation. The completed worksheet must be returned to the employee's supervisor at least two (2) days prior to the evaluation discussion.

- (f) Supervisors shall rate each of their employees. If a supervisor fails to rate an employee within 30 days of the due date of the employee's annual evaluation, the next higher level supervisor shall develop an annual evaluation for that employee. In this event the employee's annual performance evaluation shall take place within 45 days of the due date of the employee's annual evaluation.
- (g) If neither supervisor develops an annual evaluation for the employee in a timely manner, the third level supervisor is responsible for completing the evaluation. Responsibility for evaluation completion continues on up the chain of command until the evaluation is completed as required by law.
- (h) If a rating is not given, the overall evaluation is "Meets Expectations" until a final rating is completed and lack of a plan or rating can be disputed.
- (i) Supervisors who fail to complete performance plans and/or evaluations on an annual basis are subject to the penalties provided for in C.R.S. 24-50-118, and may also be subject to additional disciplinary action.

State classified supervisors who fail to complete performance plans and/or evaluations in accordance with the timelines established in this plan are subject to corrective action and are ineligible for any performance pay awards. In addition, if the state classified supervisor fails to complete the individual performance plan or evaluation within 30 days of the corrective action, the supervisor shall be disciplinarily suspended in increments of one work week following a pre-disciplinary meeting.

- (j) A higher level supervisor, prior to the final performance evaluation meeting with the employee, must review the immediate supervisor's evaluation of the employee's performance.
- (k) The Director of Human Resources will review all performance evaluations to ensure consistency across supervisors and raters.

II.C. PERFORMANCE-BASED AWARDS

In the state-classified system any permanent employee achieving at a rate of Level 2, Level 3, or Level 4 on the employee's annual evaluation is eligible for a performance-

based award each year. Performance pay will be linked directly to the employee's attainment of defined performance objectives. The appointing authority determines the dollar amount and type of award and communicates the average increase to agency employees at that time, while supervisors communicate individual awards to their employees. The appointing authority will make pay decisions at the end of each performance cycle based on the distribution of ratings among performance levels and within system boundaries, institution programs and budget allocations.

A performance-based award may be base building, non-base building, a combination of base building and non-base building, or there may be no award. Non-monetary awards may also be considered. Under MSPPP all performance awards are based on available funding and no performance award is guaranteed. Temporary employees are not eligible for performance awards.

New employees who are hired on or before the last working day in December of each year will be evaluated for their partial year of employment and be eligible for a performance-based award. Employees who are hired on or after the first working day in January will have an interim evaluation based on the performance plan that was developed for them within 30 days of their hire date. These employees will not be eligible for the annual base-building award, but may be eligible for a non-base building award.

1. MSPPP Compensation System

The MSPPP compensation system is based on an open pay range with a minimum and maximum amount set for each class and occupational group. The minimum and maximum points in the pay range are established through the annual Total Compensation Survey.

The State Personnel Director will recommend and publish annually, in conjunction with the compensation survey, the maximum awardable percentage for performance awards for application statewide. The minimum award for Level 2 will be greater than zero. The minimum award for Level 3 (Y) will be greater than the maximum award for Level 2 (X). The minimum award for Level 4 (Z) will be greater than the maximum award for Level 3 (Y). Prior to award payment, and based on the institution's budget, employee demographics and distribution of ratings, Mesa State College will specify annually the maximum award percentages for performance levels 2 and 3. The maximum award for Level 4 (Z) will be the maximum percentage set annually by the State Personnel Director.

2. Base Building and Non-Base Building Awards

Base building awards are a permanent part of pay and paid as regular salary. Non-base building awards must be earned each year and do not become a permanent part of pay. However, non-base building awards do count toward the employee's highest annual salary for PERA. Non-base building awards are paid as a lump sum. Any unpaid non-base building award is due in full when an employee terminates employment. Only Outstanding performers are eligible for non-base building awards above the range maximum. During the first year of payouts for performance awards all awards will be non-base building.

Performance Rating	Pay	
	Employee Earning Below Range Maximum	Employee Earning at or Above Range Maximum
Level 1: Unsatisfactory Performance	Salary Survey No performance-based award	Salary Survey No performance-based award
Level 2: Meets Expectations	Salary Survey Base-building, non-base building, or a combination of performance awards of greater than 0 up to X%, with the award not to exceed range maximum	Salary Survey No performance-based award
Level 3: Exceeds Expectations	Salary Survey Base-building, non-base building, or a combination of performance awards of greater than X% up to Y%, with the award not to exceed range maximum	Salary Survey No performance-based awards
Level 4: Consistently Exceeds Expectations	Salary Survey Base-building, non-base building, or a combination of performance awards of greater than Y% up to Z%. Only non-base building awards may exceed the range maximum	Salary Survey Non-base building award that must be re-earned annually.

Regardless of performance level, an employee cannot be granted an award or combination of awards greater than the set performance award maximum (X, Y or Z). The minimum award for those currently at the maximum of their pay range is set at zero.

3. Level 1: “Unsatisfactory Performance” Rating

An employee achieving a final annual overall Level 1 rating is ineligible for a performance award.

A Level 1 rating denoting unsatisfactory performance will result in a performance improvement plan. A signed copy of the performance evaluation and the performance improvement plan must be accompanied by supporting documentation and shall be reviewed by the Director of

Human Resources. A reasonable time to improve will be established in the performance improvement plan. If performance is still unsatisfactory at the time of reevaluation, a corrective action will be given. If performance does not improve after the corrective action is given, a disciplinary action shall be taken.

4. Level 2: “Meets Expectations” Rating

An employee achieving a final annual overall rating of “Meets Expectations” may receive a base-building, non-base building, or a combination of performance awards of greater than 0% up to X%, with the award not to exceed range maximum. If base pay is at or above the range maximum, the employee is ineligible for a performance award payment.

5. Level 3: “Exceeds Expectations” Rating

An employee achieving a final annual overall rating of “Exceeds Expectations” may receive a base-building, non-base building, or a combination of performance awards of greater than X% up to Y%, with the award not to exceed range maximum. If base pay is at or above the range maximum, the employee is ineligible for a performance award payment.

6. Level 4: “Consistently Exceeds Expectations” Rating

An employee achieving a final annual overall rating of “Consistently Exceeds Expectations” may receive base-building, non-base building, or a combination of performance awards of greater than Y% up to Z%. Only non-base building awards may exceed the range maximum. If base pay is at or above the range maximum, the employee is eligible for a non-base building award. This award is at the sole discretion of the appointing authority.

7. Non-monetary Awards

Non-monetary awards or incentives may be provided for all permanent employees who receive performance ratings at Levels 2, 3 and 4. Non-monetary awards may be given separate from or in combination with, monetary awards. Non-monetary awards are not calculated in the total awards amounts. The types and amounts of non-monetary awards are at the discretion of the appointing authority. By way of example, Administrative Leave may be considered as a non-monetary award.

8. Payout of Performance Awards

The President of Mesa State College will determine the amount and type of performance awards (base building, non-base building, or a combination of base building and non-base building) following the completion of the annual budget allocation process conducted by the Board of Trustees of the State Colleges in Colorado. During the first year of payouts for performance awards all awards will be non-base building. In any event, the awards will be applied uniformly for all similarly situated classified employees.

By July 15th of each fiscal year the Department of Human Resources will notify employees of the amount of their individual performance awards. The notification will also advise each employee whether the award is base building, non-base building, or a combination of base and non-base building.

II.D. MSPPP DISPUTE RESOLUTION PROCESS

Mesa State College provides a review process that is designed to resolve performance management issues as quickly and efficiently as possible. The President of Mesa State College delegates final decision-making authority in the internal dispute resolution process to the administrative heads of each college department. In the event that the supervisor or next level supervisor/reviewer is the administrative head or chair of the department, the final decision-maker will be the dean or vice president. The MSPPP dispute resolution process is an open, impartial process that is not a grievance or appeal. The formal dispute resolution process has two stages--internal to Mesa State College, and external, to the Department of Personnel. Informal resolution of disputes at the lowest level is encouraged.

A written description of this dispute resolution process, along with the name of the appointing authority, will be provided to each employee prior to the due date of the annual Performance Evaluation

1. Reviewable and Non-Reviewable Complaints:

Only the following matters are reviewable:

- (a) The individual performance plan, including lack of a plan during the planning cycle;
- (b) The individual's final performance evaluation, or lack of final evaluation;

- (c) The application of the Mesa State performance pay program to the individual employee's plan and/or final evaluation; and
- (d) Full payment of the award.

Final resolution of issues concerning the employee's performance plan (or lack of plan) and the employee's evaluation shall occur at the internal level. Employees will have no further recourse for resolution of these disputes.

The following matters are not reviewable under MSPPP:

- (a) The content of the Mesa State Performance Pay Program;
- (b) Matters related to the funds appropriated;
- (c) The performance evaluations and awards of other employees; and
- (d) The amount of a performance award, including whether it is base or non-base building, any combination or none, unless the issue involves the application of the Mesa State Performance Pay Program.

An employee who has a reviewable dispute or concern relating to MSPPP may use this procedure without fear of reprisals. The dispute resolution process is available to all permanent employees. It is an open, impartial process that is not a grievance or appeal. No party has an absolute right to legal representation, but may have an advisor present at all stages of the dispute resolution process. The role of the advisor is to assist the employee in the process, but the employee is expected to present the employee's issues at each stage.

The employee shall discuss the reviewable complaint or concern with the employee's immediate supervisor and attempt to resolve the problem informally prior to pursuing the formal MSPPP dispute resolution process.

2. Internal Formal Dispute Resolution Stage

(a) Initial Review

- (i) In the event the dispute is not suitably resolved at the informal level the employee may reduce the problem to writing by completing the Request for Initial Review section of the *Request for Review of Performance Management Issues* form. The form must be presented to the employee's immediate supervisor, with a copy to the Director of Human Resources, within three(3) working days of the occurrence of the reviewable dispute.

(ii) The form shall be dated and signed by the employee; it shall set forth the facts, including dates, of the dispute and the remedy desired. Only those issues originally presented in writing shall be considered throughout the dispute resolution process.

(iii) The dispute shall not be considered submitted until the immediate supervisor receives the written request for review. At the time it is received, it shall be dated and a copy returned to the employee.

(iv) The immediate supervisor shall schedule a meeting to include the supervisor, the employee, and the next higher level supervisor/reviewer. The meeting must occur within five (5) working days of the submission of the written Request for Initial Review. The purpose of the meeting shall be to review and consider the issues presented.

(v) Within five (5) working days of the meeting the immediate supervisor, in cooperation with the next level supervisor/reviewer, shall respond, in writing, to the employee's dispute.

(vi) In the event the response of the immediate supervisor is unacceptable to the complaining employee, the dispute may be referred to the administrative head of the employee's work unit under the procedures set forth in Level II of this dispute resolution process.

(b) Final Review

(i) If the employee is not satisfied with the response presented at the Initial Review stage, the employee may refer the dispute to the administrative head of the employee's work unit by completing the Request for Final Review by Administrative Head section of the *Request for Review of Performance Management Issues* form. The form must be presented to the administrative head of the employee's work unit, with a copy to the Director of Human Resources, within three(3) working days of receipt of the response to the employee's Request for Initial Review.

(ii) The complaint shall not be considered submitted until the administrative head of the unit receives the completed form. At the time it is received, it shall be dated and a copy returned to the complaining employee. Any dispute that has not been referred within three(3) calendar days after receipt of the response to the Request for Initial Review shall be considered settled on the basis of the written response and shall not be subject to further review by the administrative head.

(iii) The administrative head shall schedule a meeting with the employee and the two supervisors involved in the Initial Review to discuss the issue(s) presented. The meeting shall occur within three (3) working days of receipt of the Request for Final Review.

(iv) Within three (3) working days of the meeting the administrative head of the unit shall complete his or her investigation and shall answer the employee's dispute in writing. In answering the employee's dispute the administrative head is limited to addressing the facts surrounding the issue, and shall not substitute his or her judgment for that of the supervisor. The administrative head may instruct the supervisor to follow the agency Program, reconsider a performance plan or rating, or take other appropriate action. The administrative head cannot render a decision that would alter the Mesa State Performance Pay Program. The administrative head's response must also advise the employee of the issues that are disputable at the External stage of the Dispute Resolution Process. The notice must include filing deadlines, the address for filing, and should advise that a copy of the original Request for Review of Performance Management Issues form, along with the final decision in the internal dispute resolution process.

(v) When the employee's immediate supervisor or the next higher level supervisor/reviewer is the department head or department chair, Final Review will occur at the level of the dean or vice-president.

(c) The Role of the Director of Human Resources

At any time during the internal dispute resolution process either the employee or the reviewer may call upon the Director of Human Resources to provide information about the dispute resolution process and/or to extend the time frame of the internal review process. The Director of Human Resources may extend the time frame if it is determined that the extension will serve to resolve the dispute.

In no event will the Director of Human Resources substitute his or her judgment for that of the supervisor or other internal reviewer.

3. External Review

(a) Within five (5) working days of Mesa State's final decision, an employee may file a written request for review with the Director of the State Department of Personnel at 1120 Lincoln, Suite 1420, Denver, Colorado 80203. Only those original issues involving the application of the agency's performance plan to the individual's performance plan and/or evaluation, or full payment of an award may advance to the external review stage.

- (b) The request for external review shall include a copy of the original issue(s) submitted in writing and the agency's final written decision.
- (c) The Director or designee shall select a qualified neutral third party. The neutral third party has thirty (30) days to issue a written decision, which is final and binding.

II. E. ANNUAL REPORT TO STATE DEPARTMENT OF PERSONNEL

Mesa State College, through its annual budget process, will track the following information:

1. The distribution of performance ratings;
2. The total dollars appropriated for performance awards each fiscal year;
3. The total amount of those appropriated dollars awarded to employees for performance awards;
4. The total amount of dollars awarded for each performance category; and
5. The number of disputes

This information will be reported to the state Department of Personnel at the end of each fiscal year.

APPENDICES

Appendix 1

Forms

MESA STATE COLLEGE
Performance Evaluation Process
Employee Self-Review Worksheet

As an employee, you are encouraged to complete this worksheet. It is designed to help you and your supervisor prepare for your performance evaluation discussion. Give a completed copy of this worksheet to your supervisor at least two days prior to the evaluation discussion and keep a copy for yourself. *Where possible, utilize important events journal to complete this form.* (Attach separate page(s) as necessary.)

Name: _____ Date: _____

Title: _____ Department: _____

1. Do you have any questions about job performance expectations? What areas are unclear to you, if any?

2. List special contributions you feel you have made to your department for the current evaluation period. (These may include activities, awards, and/or recognitions since your last full evaluation.)

3. List any notable obstacles you encountered in accomplishing your job responsibilities during the last evaluation period, particularly obstacles encountered in attempting to reach the goals you and your supervisor had set. (Include your plan for overcoming any obstacles that you may have met.)

4. What performance standards do you want/need to improve in the next year? How do you intend to achieve these goals?

5. Add any additional information that you wish to have considered in your evaluation.

Signature: _____ Date: _____

MESA STATE COLLEGE
Performance Evaluation Process
Interim Evaluation

Required for:

- *Employees Receiving an Overall Rating of Unsatisfactory Performance*
- *Interim Evaluation for New Hires During Probationary Period*
- *Interim Evaluation for Lateral Transfers*
- *Interim Evaluation for Promotions*

Employee Name: _____ Soc. Sec. #: _____

Department Name: _____

Employee Classification: _____

Date of Interim Evaluation Meeting: _____

Summary of Employee's Performance (related to job duties and general performance factors). If employee receives an overall rating of Unsatisfactory Performance, the supervisor **MUST** include specifics as to nature of problem.

Employee's Comments:

Supervisor's Recommendation/Rating:

___ The employee has met expectations regarding performance and/or conduct during the interim evaluation period.

___ The employee has NOT met expectations regarding performance and/or conduct during the interim evaluation period.

Supervisor's Signature: _____

Date: _____

I, _____, Agree ___ Disagree ___ with the Recommendation/Rating.
(Employee Signature)

Reviewer's Signature: _____

Date: _____

ATTACH ANY NECESSARY DOCUMENTATION

Original to Human Resources

Copies to Supervisor and Employee

MESA STATE COLLEGE
Performance Evaluation Process
Performance Evaluation

(For performance planning, performance progress reviews and final performance evaluations)

I. Identification Section:

Employee Name: _____ SS#: _____ Position No.: _____

Evaluation Period (for example 6/1/00-5/31/01): _____

Reason for Evaluation (Circle One): Annual Mid Year Change Supv. Promotion Transfer

Classification: _____ Department: _____

II. Agenda:

Performance Planning (for next evaluation year) – to be done with employee:

- Review and discuss departmental mission and goals
- Review and discuss unit work plan
- Identify and review core competency areas that will be measured and indicate their relative importance for this position
- Identify and review Individual Performance Objectives (IPOs)

Supervisor Signature: _____ Date: _____

Employee Signature: _____ Date: _____

Performance Progress Review (midyear review) - to be done with employee:

- Review and discuss unit work plan
- Review and discuss progress toward any IPOs
- Review and discuss employee's self-review worksheet
- Review and discuss performance along competency areas, including behavior indicators

Supervisor Signature: _____ Date: _____

Employee Signature: _____ Date: _____

Final Performance Evaluation (annual review) - to be done with employee:

- Review and discuss unit work plan
- Review and discuss progress toward any IPOs
- Review and discuss employee's self-review worksheet
- Review and discuss performance along competency areas, including behavior indicators

Supervisor Signature: _____ Date: _____

Reviewer Signature: _____ Date: _____

I _____ Agree ___ Disagree ___ with the performance rating.
(Employee Signature)

III. Capsule Job Description: (from Item II, Page 1 of PDQ)

IV. Uniform Core Competencies: UP=Unsatisfactory Performance, ME=Meets Expectations, EE=Exceeds Expectations, CE=Consistently Exceeds Expectations; Refer to the Key to Rating Levels) Weight must total 100%, including weights for individual evaluation factors. Utilize your "Important Events Journal" regarding employee's performance. (Attach separate pages, as needed.)

Weight (e.g. 10%)	Factor	UP	ME	EE	CE
	<p>COMMUNICATION:-The degree to which the employee effectively communicates by actively listening and sharing relevant information with co-workers, supervisors and customers so as to anticipate problems and ensure the effectiveness of the department and Mesa State College.</p> <p>Behavior Indicators: (list minimum of 2, below)</p> <p>Comments:</p>				
	<p>INTERPERSONAL SKILLS:-The degree to which the employee interacts effectively with others to establish and maintain smooth working relations.</p> <p>Behavior Indicators: (list minimum of 2, below)</p> <p>Comments:</p>				
	<p>CUSTOMER SERVICE:-The degree to which the employee works effectively with internal/external customers to satisfy service expectations.</p> <p>Behavior Indicators: (list minimum of 2, below)</p> <p>Comments:</p>				
	<p>ACCOUNTABILITY:-The degree to which an employee's work behaviors demonstrate responsible personal and professional conduct, which contributes to the overall goals and objectives of the department and Mesa State College.</p> <p>Behavior Indicators: (list minimum of 2, below)</p> <p>Comments:</p>				
	<p>JOB KNOWLEDGE:-The degree to which the employee is skilled in job-specific knowledge which is necessary to provide the appropriate quantity and quality of work in a timely and efficient manner.</p> <p>Behavior Indicators: (list minimum of 2, below)</p> <p>Comments:</p>				

Weight (e.g. 10%)	Factor	UP	ME	EE	CE
	<p>SUPERVISION: (For those employees who supervise one or more employees, whether college employee or student) The degree to which employee/supervisor provides supervision, feedback and training for employees; resolves routine personnel issues or problems; utilizes employee's skills and abilities; and provides timely performance plans and evaluations in accordance with established timelines.</p> <p>Behavior Indicators: (list minimum of 2, below)</p> <ul style="list-style-type: none"> Provides timely performance plans and evaluations <p>Comments:</p>				

V. Individual Performance Objectives (IPOs): Use goals/objectives for the evaluation period which were previously agreed upon by employee and supervisor. (UP=Unsatisfactory Performance Improvement, ME=Meets Expectations, EE=Exceeds Expectations, CE=Consistently Exceeds Expectations; Refer to the Key to Rating Levels) Weight must total 100%, including Standard Evaluation Factors. *NOTE: Individual Factors should not make up more than 25% of the total weight in an employee's review.* Utilize the "Important Events Journal", include comments as to why employee did, or did not, achieve goals, if appropriate. (Attach separate pages, as needed)

Weight	Goals/Objectives	UP	ME	EE	CE

Key to rating levels:

Unsatisfactory Performance (Level 1): Employee fails to meet job expectations and may require more supervision and direction. Performance is below expectations, may be weak in skills, may require a great deal of direction, and/or may have trouble understanding and carrying out critical job tasks.

Meets Expectations (Level 2): Employee fulfills job expectations with a normal amount of supervision and direction. Performance is acceptable, meets practically all the standards of the position in a satisfactory way. This rating describes performance that demonstrates the required skills and knowledge for the position.

Exceeds Expectations (Level 3): Higher than average quality of performance in majority of areas. Employee frequently exceeds job expectations and requires minimal supervision.

Consistently Exceeds Expectations (Level 4): Employee meets, and consistently exceeds, job expectations and requires minimal supervision. This employee is a role model whose performance exceeds requirements in most instances. This rating describes the unusually effective employee who possesses valuable experience and abilities.

Justification: (Required for an overall rating of Unsatisfactory Performance or Consistently Exceeds Expectations, otherwise optional. Attach additional documentation as needed)

VI. Quantification: (For ease in performing computations, write in the individual's rating next to the range of numbers for the appropriate ranking.)

Item	Weight **	Unsatisfactory Performance Range & Individual Rating (Level 1)	Meets Expectations Range & Individual Rating (Level 2)	Exceeds Expectations Range & Individual Rating (Level 3)	Consistently Exceeds Expectations Range & Individual Rating (Level 4)	Score ***
		(1.0-1.50)	(1.51-2.50)	(2.51-3.50)	(3.51-4.0)	
Communication						
Interpersonal Skills						
Customer Service						
Accountability						
Job Knowledge						
Supervision (Where applicable)						
Individual Performance Goal 1						
Individual Performance Goal 2						
Individual Performance Goal 3						
Individual Performance Goal 4						
Individual Performance Goal 5						
TOTAL						

**Weight must total 100.

***Multiply the weight by the numeric equivalent of the rating.

CONVERSION OF NUMERIC SCORE TO DESCRIPTIVE RATING

Consistently Exceeds Expectations (Level 4)	351-400
Exceeds Expectations (Level 3)	251-350
Meets Expectations (Level 2)	151-250
Unsatisfactory Performance (Level 1)	100-150

FINAL OVERALL RATING: (Check One)

Unsatisfactory Performance (Level 1) ☐

Meets Expectations (Level 2) ☐

Exceeds Expectations (Level 3) ☐

Consistently Exceeds Expectations (Level 4) ☐

Employee Comments:

I, _____, Agree ☐ Disagree ☐ with my Performance Evaluation.
(Employee's Signature)

Supervisor's Signature: _____ Date: _____

Reviewer's Signature: _____ Date: _____

Reviewed by Director of Human Resources (Required for Rating of Unsatisfactory Performance or
Consistently Exceeds Expectations)

HR Director's Signature: _____ Date: _____

MESA STATE COLLEGE
Performance Evaluation Process
Performance Improvement Plan

(Required for employees who receive an overall rating of Unsatisfactory Performance on yearly evaluation, otherwise optional.)

Employee: _____

Soc.Sec.#: _____

Supervisor: _____

Department: _____

List the Factor(s) that need improvement and the corresponding plan for improvement:

FACTOR	JOB RESPONSIBILITY	PLAN FOR IMPROVEMENT

Support to be provided by Supervisor (i.e. training, equipment, etc.):

Employee Comments:

I _____ Agree ☐ Disagree ☐ with the plan above.
(Employee Signature)

Supervisor Signature: _____

Date: _____

Reviewer Signature: _____

Date: _____

Follow-up Review: (to be completed within 60-90 days of annual review date)	
____ Employee has achieved required improvements described above.	
____ Employee has not achieved the required improvements described above.	
Follow-up Review Signatures:	
Employee: _____	Date: _____
Supervisor: _____	Date: _____

Copies to Employee, Supervisor, and Human Resources.

MESA STATE COLLEGE
Performance Evaluation Process
Request for Formal Review of Performance Management Issues

Has issue been discussed with immediate supervisor? Yes ☐ No ☐
Has an attempt been made to resolve the problem? Yes ☐ No ☐

Request for Initial Review*

Employee's name: _____ ID Number: _____
Department: _____ Date: _____
Work Address: _____ Work Phone: _____

Reason for Request:

- ☐ My performance plan, or lack of a plan. *Attach a brief statement of the facts.*
- ☐ My individual performance rating. *Attach a copy of the performance plan, the rating, and a brief statement of the issues and supporting facts.*
- ☐ The application/interpretation of the Mesa State College Performance Management Plan, policies or processes to my individual plan and/or evaluation. *Attach a copy of the performance plan and/or rating and a brief statement of the plan, policy or process that was misapplied and supporting facts.*
- ☐ Full payment of performance award. *Attach a copy of the notice of award, record of payments, and a brief statement of explanation and supporting facts.*

Request for Review by Administrative Head*

To resolve this issue, I have taken the following actions:

Reason immediate supervisor's answer was unsatisfactory:

I am requesting the following resolution:

Employee Signature _____
Date _____

<p>*A copy of this form must be provided to the Director of Human Resources for all internal dispute resolution reviews.</p>

External Review

I understand that the action I am disputing must have been raised in the agency's review process. Requests for external review must be filed with the State Personnel Director within five (5) working days from the date of the agency's final decision.

Date of agency's decision on my request for review: _____

Reason for Request:

- ☐ Application of the agency's performance management plan, policies or processes to my individual employee plan or evaluation.
- ☐ Full payment of a performance award.

Attach a copy of the original review document's, the agency's decision, and a brief statement of explanation and supporting facts. A copy of the request for external review must also be provided to the supervisor and the human resources office.

Employee Signature _____

Date _____

Requests for external review must be filed with the State Personnel Director, 1120 Lincoln, Suite 1420, Denver, Colorado 80203

MESA STATE COLLEGE
Performance Evaluation Process

Performance Planning and Evaluation Schedule

May 1	Annual Evaluation (Complete a Plan for the next year at the same time, or at a separate meeting within 30 days of annual evaluation review)
July 1-August 1	For employees who receive an overall rating of Unsatisfactory Performance or Interim Evaluation, if needed
60-90 days after hire	Perform Interim Evaluation for New Hire
6 months after promotion (OR) transfer	Interim Evaluation
November 1	Midyear evaluation using the Annual Evaluation form (do follow-up review for employees who receive an overall rating of Unsatisfactory Performance, if needed)

Appendix 2

Glossary

GLOSSARY OF TERMS

Advisor – An individual who may assist a party during the Performance Management dispute resolution process by explaining the process, helping identify issues, preparing documents and attending meetings

Anniversary funding – Appropriations used to pay for annual anniversary increases

Anniversary increases – Associated with the former “step” system, whereby employees received a 5 percent increase every year on their anniversary date until they reached the “five-year rate” formerly step 6. After 60 months at the five-year rate employees progressed to the traditional maximum, formerly step 7. A pay increase granted on the employee’s anniversary date.

Appointing authority – The Vice President for Financial and Administrative Services is the appointing authority for staff classified personnel at Mesa State College

Base building performance award – Monetary performance award that is paid as a percentage and increases an employee’s base pay

Base pay – Salary, excluding any premiums, paid an employee on a fixed, non-variable basis

Coaching and feedback – In performance management, managers and/or supervisors train employees in linking agency goals/objectives with employees’ work plan, and guide employees in achieving individual goals

Competencies – Competencies are observable, measurable patterns of knowledge, skills and abilities, behaviors, and other characteristics that employees need to successfully perform work-related tasks

Core Competencies – These are knowledge, skills and abilities, behaviors and characteristics required for successful performance of all jobs in Colorado state government, regardless of level, occupation or work unit

Consistently – (Per performance evaluation) regular, steady (70-100% of the time)

Department – A single purpose organization within a division of Mesa State College, managed by a supervisor who reports to a division administrator

Division – A major line organization of Mesa State College, consisting of more than one department

Expectations – Defines the: *who, what, when, where*, and *how* of the desired level of performance

Frequently – (per performance evaluation) often, habitual, regular (50-70% of the time)

Important Events Journal – A record of significant, annual work events kept by a supervisor to document occurrences that will be useful in assuring the accuracy and comprehensiveness of an employee performance evaluation. Employees may also find value in keeping an Important Events Journal to document significant achievements and other important incidents

Individual Performance Objectives – Individual performance expectations which may include training plans; steps to improve performance skills, and/or areas previously determined to need improvement; and/or employee development goals

Job – Work that a single employee is responsible for performing

Job Analysis – The process of recording information about the job tasks, responsibilities, and standards; precedes the formulation of a job description

Level 1 performance rating – The lowest overall performance rating denoting unsatisfactory performance or performance that needs improvement

Level 2 performance rating – A performance rating defined as “meets expectations, standards, requirements and objectives”

Level 3 performance rating – A performance rating defined by the terms “exceeds expectations, standards, requirements and objectives”

Level 4 performance rating – The top overall performance rating defined by the terms “consistently exceeds expectations, standards, requirements and objectives”

Mesa State Performance Pay Program (MSPPP) – The performance management, evaluation and award system for classified staff at Mesa State College

Mission Statement – A brief statement that describes what business the organization is in, the primary purpose of an organization, and why an organization exists

Unsatisfactory Performance – An employee who fails to meet job expectations and may require more supervision and direction. Performance is below expectations, may be weak in skills, may require a great deal of direction, and/or has trouble understanding and carrying out critical job tasks

Non-base Building Performance Award – A monetary or non-monetary award which must be re-earned on an annual basis

Non-monetary Award – A non-cash award, given based on performance, which is not calculated in the total award amounts

Pay Range – The spread of salaries between minimum and maximum rates for a specific class. The range is established based on the annual Total Compensation Survey and an employee's base salary cannot exceed the range maximum

Performance Evaluation – The process of observing and evaluating an employee's performance, recording the assessment, and providing feedback to the employee

Performance Award – A monetary or non-monetary award which results from the annual evaluation of employees

Performance-based Pay – Employee compensation that is directly tied to the evaluation of employee's performance

Performance Management – A system and ongoing process created and implemented to ensure that the level of performance expected by the organization is identified, selected, developed, and rewarded

Position – A particular job within an organization assigned to a single individual

Probationary Employee – An employee in a permanent position who has not completed his or her probationary period, which should not exceed one year from date of hire (Is not eligible for "time to improve")

Salary survey – An annual process which is required by statute in order to establish prevailing wages for employees in the state personnel system. Third-party publications are collected and matched with state classes in order to compare the pay rates

Standards – Relevant criteria established by authority, custom, or general consensus as a model or example defining what will be measured to determine a successful level of performance. These usually consist of one or more of the following criteria: quality, quantity, time, and/or cost

Team – A unit of two or more people who interact and coordinate their work to accomplish a specific goal

Temporary Employee – Employee appointed without being required to take the classified examination to a non-permanent position for six months or less in a 12-month period who has temporary status and is only eligible for Worker's Compensation

Trial Service Employee – An employee who is promoted, laterally transferred (to include classification transfers) or promoted through position reallocation to a permanent position at his/her own initiative and must complete a trial period of service not to exceed six months

